

## PART B - FEE(S) TRANSMITTAL

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**Mail Stop ISSUE FEE**  
**Commissioner for Patents**  
**P.O. Box 1450**  
**Alexandria, Virginia 22313-1450**  
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**INSTRUCTIONS:** This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

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22930

7590

06/20/2006

**HOWREY LLP**  
**C/O IP DOCKETING DEPARTMENT**  
**2941 FAIRVIEW PARK DR, SUITE 200**  
**FALLS CHURCH, VA 22042-2924**

**Certificate of Mailing or Transmission**

I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO (571) 273-2885, on the date indicated below.

<u>Joan M. Gordon</u>	(Depositor's name)
<u>[Signature]</u>	(Signature)
<u>June 30, 2006</u>	(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/536,258	03/27/2000	Gary L. Gastineau	11657-003001	3646

TITLE OF INVENTION: HEDGING EXCHANGE TRADED MUTUAL FUNDS OR OTHER PORTFOLIO BASKET PRODUCTS

07/07/2006 CNGUYEN1 00000038 003038 09536258

01 FC:1501 1400.00 DA

02 FC:0001 30.00 DA

APPLN. TYPE	SMALL ENTITY	ISSUE FEE	PUBLICATION FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1400	\$0	\$1400	09/20/2006

EXAMINER	ART UNIT	CLASS-SUBCLASS
CHARLES, DEBRA F	3624	705-036000

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.

☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. Use of a Customer Number is required.

2. For printing on the patent front page, list

(1) the names of up to 3 registered patent attorneys or agents OR, alternatively,

(2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

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3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE

(B) RESIDENCE: (CITY and STATE OR COUNTRY)

**American Stock Exchange, LLC****New York, NY**

Please check the appropriate assignee category or categories (will not be printed on the patent): ☐ Individual ☒ Corporation or other private group entity ☐ Government

4a. The following fee(s) are enclosed:

☒ Issue Fee☐ Publication Fee (No small entity discount permitted)☒ Advance Order - # of Copies 10

4b. Payment of Fee(s):

☐ A check in the amount of the fee(s) is enclosed.☐ Payment by credit card. Form PTO-2038 is attached.

☒ The Director is hereby authorized by charge the required fee(s), or credit any overpayment, to Deposit Account Number 08-3038 (enclose an extra copy of this form).

5. Change in Entity Status (from status indicated above)

☐ a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27.☐ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

The Director of the USPTO is requested to apply the Issue Fee and Publication Fee (if any) or to re-apply any previously paid issue fee to the application identified above. NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

Authorized Signature

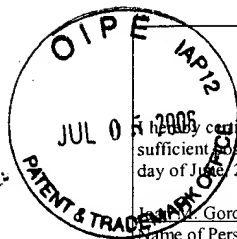
Michael J. StimsonDate June 30, 2006

Typed or printed name

Michael J. StimsonRegistration No. 45,429

This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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**CERTIFICATE OF MAILING**  
(37 C.F.R. §1.8a)

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James M. Gordon  
Name of Person Mailing Paper

*James M. Gordon*  
Signature of Person Mailing Paper

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

Gastineau *et al.*

Appl. No.: 09/536,258

Filed: March 27, 2000

For: HEDGING EXCHANGE TRADED  
MUTUAL FUNDS OR OTHER  
PORTFOLIO BASKET PRODUCTS

Examiner: Charles, Debra F.

Art Unit: 3624

Confirmation No.: 3646

Atty. Docket No: **00322.0007.NPUS00**

Date: June 30, 2006

**TRANSMITTAL OF ISSUE FEE**

***Mail Stop Issue Fee***

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In response to the Notice of Allowance and Issue Fee Due dated **June 20, 2006**, we have enclosed a completed Part B – Fee Transmittal form.

The Commissioner is authorized to charge the fee of **\$1,430.00** (for Issue Fee and Advance Order of ten (10) copies) to Deposit Account No. **08-3038**, (referencing Docket No. **00322.0007.NPUS00**). Should any additional fees under 37 C.F.R. §§ 1.16 to 1.21 be required for any reason relating to the enclosed materials, the Commissioner is authorized to deduct said fees from Deposit Account as noted above. An extra copy of the transmittal sheet is enclosed for this purpose.

Respectfully submitted,

Date: June 30, 2006

*Michael J. Stinson*  
Michael J. Stinson (Reg. No. 45,429)

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